

# **Performance Management Confirmation Application Guide Interim Report and Final Submittal Guide**

## **Introduction**

The confirmation process is a roadmap for developing a credible employee performance management program, building employee confidence in the organization's employee performance management system, and enhancing an existing performance-based culture.

Organizations receiving confirmation successfully demonstrate:

- A strong history of performance management.
- An ingrained performance based culture.
- A mature performance planning and evaluation process.
- An internal quality review process of performance plans and evaluations.
- Extensive training of staff and supervisors.
- A high level of employee confidence.

Congratulations! You have passed the first stage. Your preliminary application was approved by the Department of Personnel (DOP) Director, and you are ready to move forward. Your next steps are to develop and test your performance management program, and submit your final application for performance management confirmation (PMC).

## **Application Process**

The next steps in the process are:

### **1. Develop Model Program**

The project manager and workgroup develop model Performance Development Plans (PDP's) and work on program components, including:

- Program award criteria and process.
- Recommendation and Approval Process.
- Reconsideration Process.
- Roles, accountability, policies and procedures.
- Training and communication strategies and plans.
- Funding, and monitoring.

### **2. Confirmation Review Group**

DOP will convene a confirmation review group (CRG) consisting of representatives from confirmed organizations. In addition to evaluating your final application, the CRG will provide feedback and input as you develop your program and submit progress reports.

**3. First Interim Report**

After testing the PIP award criteria against the model PDPs, the project manager and workgroup assess your progress and report your findings to DOP. The CRG will provide feedback (approximately 4 months after receiving approval to move forward).

**4. Audit Mid-term Evaluations**

After your supervisors complete their written interim evaluations, your project manager and workgroup will audit them against the model PDP's and PIP award criteria. Based on your results and lessons learned, you will:

- Update the model PDPs and award criteria.
- Provide feedback, training, or one-one assistance to supervisors as needed.
- Improve sub-standard plans before supervisors complete their final evaluations.
- Improve and update your PDP course curriculum as appropriate.
- Provide follow-up training for new supervisors who are hired mid-cycle.

**5. Second Interim Report**

After completing the audit, the project manager and workgroup assess your progress and submit your second interim report to DOP and the review group for feedback (approximately 8 months).

**6. Third Interim Report**

After completing a full PDP evaluation cycle, the project manager and workgroup test the evaluations and new PDP plans against the criteria. Criteria should be updated if needed, feedback should be provided to supervisors, and poor PDP plans should be corrected prior to the next submission.

You will also conduct another employee confidence survey, develop your PIP supervisory training curriculum, and submit your final progress report to DOP and the CRG for feedback (approximately 17 months).

**7. Final Application**

When ready, the project manager and workgroup complete and submit the final application to DOP (approximately 19 months). DOP staff will review the plan against the 10 confirmation criteria and schedule a presentation.

**8. Pre-presentation**

Your project manager and workgroup will conduct a dry-run presentation before the CRG to vet the application and answer any technical questions.

**9. Presentation**

Your chief executive, project manager and workgroup present your application to the DOP Director and the CRG (approximately 20 months).

**10. Deliberations**

The CRG analyzes the final application and makes a recommendation to the DOP Director (approximately 21 months).

**11. Decision**

The DOP Director makes a decision on whether to grant confirmation (approximately 22 months).

**12. Post-Confirmation Implementation**

Following confirmation, you provide training to your supervisors on your performance incentive program. After training, the project manager and workgroup assess the results and prepare to implement the award program (approximately 24 months).

**13. Post-Confirmation Monitoring Report**

Following the distribution of your first year awards, (and annually thereafter), your agency collects data, analyzes the results, and submits a report to DOP following DOP guidelines. DOP staff analyzes the report and provides input to the DOP Director (approximately 30 months).

**Application Content**

You completed the preliminary application and have satisfied the basic criteria for moving forward. While you may simply complete the full application, we recommend you develop your application through a series of three interim reports and one final application. The interim reports give you the opportunity to receive feedback as you develop your program. Both the interim reports and the final application consist of responses to a series of questions with supporting documentation, survey results, and other data. In preparation, you should:

**1. Review the interim report and final application submittal table**

This table is similar to the preliminary application submittal table for your preliminary application (see Attachment A). Criteria requirements are presented in question and answer format. The left column contains the questions to complete and the attachment(s) to include with your response. Some of the criteria have more than one category of questions to complete. The bulleted questions describe specific details that must be addressed.

You may include information from other applications such as Baldrige or WSQA to support your response to these questions (See WSQA cross-reference table). The right hand column contains the standards that will be used to evaluate your application. They measure the maturity of your approaches, the breadth of deployment strategies, extent of organizational learning, and integration with your overall performance management system. You should refer to the application questions and the evaluation standards in your responses.

### 2. **Respond to each application question**

The questions allow the confirmation review group to evaluate and provide feedback. Review and feedback depend entirely on the completeness of your responses.

### 3. **Cross-reference when appropriate**

While the questions are designed to evaluate different criteria, some information may be relevant to many areas. It is appropriate to refer back to previous responses without repeating information.

### 4. **Complete the interim reports**

The reporting format for the reports is the same as the application. The far left column of the submittal table contains the questions and requested support information for each of the three interim reports. The bulleted items describe details that should be addressed for each question. Be sure to include the attachments with your report.

### 5. **Start the final application by preparing the introduction**

The introduction helps reviewers understand your lines of business, structure, and performance management philosophy. You should discuss your vision, mission, values, and other information critical to understanding your organization.

### 6. **Complete the final application**

The middle column of the submittal table contains the requirements for the final application. The far right hand column contains the evaluation standards. You should refer to the application questions and the scoring evaluation materials in framing your responses.

See Attachment A to review the interim report and final application requirements.

## **Consultation and Assistance**

DOP staff are available to provide ongoing consultation and assistance throughout the confirmation process, including providing a briefing to your executive management team regarding the confirmation process. For more information, please contact DOP at [StrategicHR@dop.wa.gov](mailto:StrategicHR@dop.wa.gov) or 360-664-6239 for more information.

### **Tools and Resources**

Use the following tools and resources to learn more about the confirmation process.

- ☐ Confirmation Guide – Overview
- ☐ Application Guide – Preliminary Application Submittal Guide
- ☐ Application Guide – Interim Report and Final Submittal Guide
- ☐ Monitoring Report Guide
- ☐ Application Process Timeline chart
- ☐ Preliminary Readiness Assessment
- ☐ Employee Confidence Survey
- ☐ Employee Performance Incentive Program Survey
- ☐ Baldrige/WSQA Question Crosswalk table.
- ☐ Application Process Table

### **Attachments**

- A. Interim Report and Final Application Submittal Table
- B. Checklist

## Interim Report and Final Application Submittal Table

## Attachment A

The table below provides the detailed list of application questions and evaluation standards required to complete your application.

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
None	<b>Introduction</b> What are your organization's purpose, vision, mission, and values? What are your organization's main services and organizational structure? What are your organization's philosophy and goals around performance management?	Not rated
<b>Performance Incentive Program</b>		
<b>Performance Incentive Program</b> <b>First Interim Report</b> <b>Practices</b> What performance based practices are you proposing for your performance incentive program?  Your response should describe: <ul style="list-style-type: none"> <li>• The specific performance incentive tools you are requesting permission to use for this program.</li> <li>• Your proposed type and amounts of incentives:, for example:               <ul style="list-style-type: none"> <li>• Dollar amounts or salary percentages for lump sum, goal sharing, and gain sharing programs..</li> <li>• Leave amounts for lump sum, goal sharing, and gain sharing programs.</li> <li>• Percentages and/or timeframes for accelerated/decelerated progression pay programs.</li> <li>• Benefits and/or penalties for layoff programs.</li> </ul> </li> </ul>	<b>Performance Incentive Program</b>  <b>Practices</b> What performance based practices are you proposing for your performance incentive program? Your response should describe: <ul style="list-style-type: none"> <li>• The specific performance incentive tools you are requesting permission to use for this program.</li> <li>• Your proposed type and amounts of incentives:, for example:               <ul style="list-style-type: none"> <li>• Dollar amounts or salary percentages for lump sum, goal sharing, and gain sharing programs..</li> <li>• Leave amounts for lump sum, goal sharing, and gain sharing programs.</li> <li>• Percentages and/or timeframes for accelerated/decelerated progression pay programs.</li> <li>• Benefits and/or penalties for layoff programs.</li> <li>• Award levels (if using an award program with multiple</li> </ul> </li> </ul>	<b>Performance Incentive Program</b>  <b>Practices</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Details the specific tools being requested.</li> <li><input type="checkbox"/> Details which parts of the organization the program will be used in.</li> <li><input type="checkbox"/> Details which employees will and won't be eligible to participate in the program.</li> <li><input type="checkbox"/> Describes the desired impacts this program will have on organizational and individual performance.</li> <li><input type="checkbox"/> Types and amounts fall with scope allowed within the rules.</li> <li><input type="checkbox"/> Incentive levels are clear, specific, and transparent (if program uses multiple levels).</li> <li><input type="checkbox"/> Practices do not create undue risk to the liability, credibility and integrity of state government.</li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<ul style="list-style-type: none"> <li>Award levels (if using an award program with multiple levels).</li> <li>What parts of your organization and which employees will be impacted by this program.</li> <li>The desired outcomes you expect to achieve through this program.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>Copies of charts and/or tables detailing incentive types, amounts, and levels</li> </ul> <p><b>Second Interim Report</b> What updates/changes have you made to the proposed performance based practices?</p> <p><b>Third Interim Report</b> What updates/changes have you made to the proposed performance based practices?</p>	<p>levels).</p> <ul style="list-style-type: none"> <li>What parts of your organization and which employees will be impacted by this program.</li> <li>The desired outcomes you expect to achieve through this program.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>Copies of charts and/or tables detailing incentive types, amounts, and levels</li> </ul>	
<p><b>Performance Incentive Program</b></p> <p><b>First Interim Report</b></p> <p><b>Performance Criteria</b> What performance criteria are you proposing for determining the incentive at each level established in your program</p> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>Copies of charts and/or tables detailing criteria for each level.</li> </ul> <p><b>Second Interim Report</b> What updates/changes have you made to the proposed criteria?</p>	<p><b>Performance Incentive Program</b></p> <p><b>Performance Criteria</b> What criteria are you proposing for determining the incentive at each level established in your program</p> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>Copies of charts and/or tables detailing criteria for each level.</li> </ul>	<p><b>Performance Incentive Program</b></p> <p><b>Performance Criteria</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Criteria are clear, specific, and transparent</li> <li><input type="checkbox"/> Different criteria for different levels are transparent (if using multiple levels).</li> <li><input type="checkbox"/> Criteria distinguishes exceptional performance from otherwise expected performance.</li> <li><input type="checkbox"/> Criteria distinguishes poor performance from otherwise expected performance (for decelerated pay or layoff penalty programs).</li> <li><input type="checkbox"/> Criteria describes exceptional performance in terms of real contribution to accomplishment of organizational performance. For example:             <ul style="list-style-type: none"> <li><input type="checkbox"/> Significant enhancement of client services,</li> </ul> </li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<p><b>Third Interim Report</b> What updates/changes have you made to the proposed criteria?</p>		<p>agency products, or mission</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Contributions which result in substantial cost savings to the agency or increased revenues for the state</li> <li><input type="checkbox"/> Exceptional effort and/or demonstrated efficiencies that lead to significant productivity improvements and/or measurable increases in the organization's output.</li> <li><input type="checkbox"/> Development of a technical advancement or operational breakthrough, which results in greater efficiency, increased productivity, staff reduction, and/or cost savings.</li> <li><input type="checkbox"/> Criteria can be applied to all employees regardless of work unit or job type.</li> <li><input type="checkbox"/> Does not create undue risk to the liability, credibility and integrity of state government.</li> </ul>
<p><b>Performance Incentive Program Recommendation &amp; Approval Process First Interim Report</b> What recommendation and approval process are you proposing for your performance incentive program? Your response should describe:</p> <ul style="list-style-type: none"> <li>• The process for supervisors to make incentive recommendations</li> <li>• Who will evaluate and make final determinations regarding incentives</li> <li>• The process that will be used for evaluating recommendations.</li> <li>• The timeframes within which recommendations and determinations will be made.</li> <li>• How recommendations and determinations will be communicated to impacted employees.</li> </ul>	<p><b>Performance Incentive Program Recommendation &amp; Approval Process</b> What recommendation and approval process are you proposing for your performance incentive program? Your response should describe:</p> <ul style="list-style-type: none"> <li>• The process for supervisors to make incentive recommendations</li> <li>• Who will evaluate and make final determinations regarding incentives</li> <li>• The process that will be used for evaluating recommendations.</li> <li>• The timeframes within which recommendations and determinations will be made.</li> <li>• How recommendations and determinations will be communicated to impacted employees.</li> </ul>	<p><b>Performance Incentive Program Recommendation &amp; Approval Process</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Recommendation process is integrated with PDP process.</li> <li><input type="checkbox"/> Approval process includes at least one manager at one level above the sponsoring manager/supervisor .</li> <li><input type="checkbox"/> Recommendation and approval process are clear, specific, and transparent</li> <li><input type="checkbox"/> Recommendation and approval process allow for timely determination of incentives</li> </ul>



First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Program documentation detailing your recommendation and approval process.</li> </ul> <p><b>Second Interim Report</b> What updates/changes have you made to the proposed recommendation and approval process?</p> <p><b>Third Interim Report</b> What updates/changes have you made to the proposed recommendation and approval process?</p>	<p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Program documentation detailing your recommendation and approval process.</li> </ul>	
<p><b>Performance Incentive Program Reconsideration Process First Interim Report</b> What is your employee reconsideration process?</p> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Program documentation detailing your reconsideration process.</li> </ul> <p><b>Second Interim Report</b> What updates/changes have you made to the proposed reconsideration process?</p> <p><b>Third Interim Report</b> What updates/changes have you made to the proposed reconsideration process?</p>	<p><b>Performance Incentive Program Reconsideration Process</b> What is your employee reconsideration process?</p> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Program documentation detailing your reconsideration process.</li> </ul>	<p><b>Performance Incentive Program Reconsideration Process</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Reconsideration process is clear, specific, and transparent</li> <li><input type="checkbox"/> Reconsideration process allows for timely consideration and determination.</li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<b>1. Executive Commitment</b>		
<p><b>Executive Commitment</b> None</p>	<p><b>Executive Commitment</b> How has your leadership demonstrated its commitment to a performance-based culture and successfully implementing a new performance management program?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• How your executive leadership has communicated its commitment to successfully implementing the new performance management program.</li> <li>• How your organization has allocated adequate resources to achieve performance management confirmation.</li> <li>• How your organization has allocated adequate resources to ensure success of the new performance management program.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Copies of executive communications such as: <ul style="list-style-type: none"> <li><input type="checkbox"/> Notes or minutes from face-to face meetings conducted with employees and Director.</li> <li><input type="checkbox"/> Letters, email.</li> <li><input type="checkbox"/> Posters</li> <li><input type="checkbox"/> Newsletters</li> <li><input type="checkbox"/> Intranet pages</li> <li><input type="checkbox"/> Notes or minutes from Staff meetings</li> </ul> </li> <li>• Copy of confirmation team roster.</li> </ul>	<p><b>Executive Commitment</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Agency demonstrates a historic culture of performance.</li> <li><input type="checkbox"/> Chief executive has communicated his/her commitment to both a performance management culture and successfully implementing the new performance management program.</li> <li><input type="checkbox"/> Chief executive has communicated his/her commitment to new performance incentive program to employees (if appropriate).</li> <li><input type="checkbox"/> Senior leadership has been actively involved in the development of the agency's current performance management system and the new performance management program.</li> <li><input type="checkbox"/> Agency has allocated adequate resources to successfully implement the new performance management program.</li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<b>2. Readiness Assessment</b>		
<b>Readiness Assessment</b> <b>Organizational Performance Planning</b> None	<b>Readiness Assessment</b> <b>Organizational Performance Planning</b> How has your leadership promoted and supported organizational performance planning and results?  Your response should describe: <ul style="list-style-type: none"> <li>• Your process for developing your strategic plan.</li> <li>• Your process for monitoring and reporting performance against goals.</li> <li>• How your process integrates with other planning and assessment systems (GMAP, WSQA, etc.)</li> <li>• The systems you have in place for communicating performance results.</li> </ul> Include as attachments: <ul style="list-style-type: none"> <li>• A copy of your strategic plan</li> <li>• A copy of your business plan (if applicable)</li> <li>• A copy of your performance measures for each business line in the organization</li> <li>• GMAP or comparable reports on business goal and performance measure progress</li> <li>• WSQA application and feedback report (if applicable)</li> <li>• Baldrige application and feedback report (if applicable)</li> </ul>	<b>Readiness Assessment</b> <b>Organizational Performance Planning</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Agency vision, mission, and values are clearly stated and communicated to all employees.</li> <li><input type="checkbox"/> Agency has a strategic plan with business goals, objectives, and strategies in place.</li> <li><input type="checkbox"/> Agency has performance measures in place for each business line.</li> <li><input type="checkbox"/> Agency has a process for monitoring and reporting performance on: <ul style="list-style-type: none"> <li><input type="checkbox"/> Strategic plan and business plan goals.</li> <li><input type="checkbox"/> Organizational performance levels.</li> <li><input type="checkbox"/> Comprehensively tracks all permanent employees.</li> <li><input type="checkbox"/> Audits PDPs for improvement</li> <li><input type="checkbox"/> Reports compliance to executive management.</li> </ul> </li> <li><input type="checkbox"/> Agency integrates the performance management system throughout the organization through activities such as GMAP, balance scorecard, WSQA and other types of assessments (e.g., internal and external audits).</li> <li><input type="checkbox"/> Managers and supervisors communicates agency goals effectively to employees at all levels.</li> </ul>
<b>Readiness Assessment</b> <b>Recognition and Reward Systems</b> None	<b>Readiness Assessment</b> <b>Recognition and Reward Systems</b> What is your organization's experience recognizing or rewarding excellent performance?  Your response should describe:	<b>Readiness Assessment</b> <b>Recognition and Reward Systems</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Demonstrated experience recognizing excellent performance such as: <ul style="list-style-type: none"> <li><input type="checkbox"/> Recognition program that: <ul style="list-style-type: none"> <li><input type="checkbox"/> Tie individual contribution to</li> </ul> </li> </ul> </li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
	<ul style="list-style-type: none"> <li>Your experience identifying and responding to high performance through such means as:                             <ul style="list-style-type: none"> <li>Recognition programs.</li> <li>PDP stretch goals.</li> <li>Succession planning programs.</li> </ul> </li> <li>How this experience demonstrates your ability to successfully develop and implement a performance incentive program (if applicable).</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>Copies of relevant materials.</li> </ul>	<p>organizational results.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Has defined criteria.</li> <li><input type="checkbox"/> Has a formal process.</li> <li><input type="checkbox"/> PDPs that establish and evaluate against stretch goals.</li> <li><input type="checkbox"/> Succession programs that target high performers.</li> </ul>
<p><b>Readiness Assessment Employee Confidence First Interim Report</b> What have you done to address gaps in the employee survey?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>What is your action plan for addressing those gaps?</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>A copy of action plan (if necessary)</li> </ul> <p><b>Third Interim Report</b> What did your second survey tell you about employee confidence?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>What significant gaps did it reveal?</li> <li>What is your action plan for addressing those gaps?</li> </ul>	<p><b>Readiness Assessment Employee Confidence</b> How confident are your employees in the organization's ability to manage performance?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>Your survey process.</li> <li>Your survey results.</li> <li>Analysis of actions taken to address initial agreement ratings below 65% and overall response rate below 75%.</li> <li>Your strategy and action plan for continuing evaluation and reporting of employee engagement.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>Completed PMC employee confidence survey(s)</li> </ul>	<p><b>Readiness Assessment Employee Confidence</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Completed initial and follow-up surveys using standard DOP instrument.</li> <li><input type="checkbox"/> Surveys administered to all agency employees.</li> <li><input type="checkbox"/> Results are tabulated separately between management and employees.</li> <li><input type="checkbox"/> 65% or more employees indicate agreement on each survey question. (i.e., agree and strongly agree).</li> <li><input type="checkbox"/> 75% or greater overall response rate.</li> <li><input type="checkbox"/> Strategy and action plan for continuing evaluation and reporting of employee engagement (as reported through all-staff employee survey results, etc.).</li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<b>3. Roles &amp; Responsibilities</b>		
<p><b>Roles &amp; Responsibilities</b>  <b>First Interim Report</b>            What modifications are you proposing to existing roles and responsibilities?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• Tasks accomplished from your action plan.</li> <li>• Modifications to your action plan.</li> <li>• How you have addressed the gaps identified in your previous analysis.</li> <li>• Any new gaps you have identified.</li> <li>• What new or modified roles and responsibilities you are making to support the new performance management program.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Copies of draft policies, procedures, or other documentation outline new or modified roles and responsibilities.</li> </ul> <p><b>Second Interim Report</b>            What did the interim reviews tell you about your assigned roles and responsibilities?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• What significant gaps did it reveal?</li> <li>• What is your action plan for addressing those gaps?</li> </ul>	<p><b>Roles &amp; Responsibilities</b>            How have you assigned roles and responsibilities to support successful implementation and maintenance of your new employee performance management program?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• New/modified assignments.</li> <li>• How assignments have been communicated.</li> <li>• How they will contribute to the new performance management program.</li> <li>• How they address gaps identified in your previous analyses.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Copies of policies, procedures or other communication that outline roles and responsibilities.</li> </ul>	<p><b>Roles &amp; Responsibilities</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> New/modified roles and responsibilities are assigned for:               <ul style="list-style-type: none"> <li><input type="checkbox"/> Executive Management</li> <li><input type="checkbox"/> Human Resources</li> <li><input type="checkbox"/> Supervisors</li> <li><input type="checkbox"/> Employees</li> </ul> </li> <li><input type="checkbox"/> Each person with an assigned role is aware of their role and responsibilities.</li> <li><input type="checkbox"/> Role and responsibility assignments thoroughly address:               <ul style="list-style-type: none"> <li><input type="checkbox"/> Executive Management responsibility for leadership and oversight.</li> <li><input type="checkbox"/> Human resource responsibility for monitoring, reporting, and coaching.</li> <li><input type="checkbox"/> Supervisor responsibility for:                   <ul style="list-style-type: none"> <li><input type="checkbox"/> Performance planning</li> <li><input type="checkbox"/> Feedback, coaching, and evaluation.</li> <li><input type="checkbox"/> Recognizing accomplishment.</li> <li><input type="checkbox"/> Taking corrective action when necessary.</li> </ul> </li> </ul> </li> <li><input type="checkbox"/> Employee responsibility for:               <ul style="list-style-type: none"> <li><input type="checkbox"/> Participating in performance planning.</li> <li><input type="checkbox"/> Achieving performance/competency targets.</li> <li><input type="checkbox"/> Seeking feedback and clarification when</li> </ul> </li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• A revised copy of assigned roles and responsibilities (if necessary).</li> <li>• A copy of revised action plan (if necessary).</li> </ul> <p><b>Third Interim Report</b> What did your PDP audit tell you about your assigned roles and responsibilities??</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• What significant gaps did it reveal?</li> <li>• What is your action plan for addressing those gaps?</li> </ul>		<p>necessary.</p> <p><input type="checkbox"/> Correcting poor performance when necessary.</p>
<p><b>4. Management Accountability</b></p>		
<p><b>Management Accountability First Interim Report</b></p> <p>What modifications are you proposing to existing management accountabilities?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• Tasks accomplished from your action plan.</li> <li>• Modifications to your action plan.</li> <li>• How you have addressed the gaps identified in your previous analysis.</li> <li>• Any new gaps you have identified.</li> <li>• What new or modified management accountabilities you are making to support the new performance management program.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Copies of draft policies, procedures, or other documentation outline new or modified management</li> </ul>	<p><b>Management Accountability</b></p> <p>How will your managers and supervisors be held accountable for consistent, equitable, and transparent administration of your new performance management program?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• New/modified accountability standards and practices, including the consequences of poor performance for managers and supervisors.</li> <li>• How new/modified accountability standards, practices and consequences have been communicated to managers and supervisors.</li> <li>• How they will contribute to the new performance management program.</li> <li>• How they address gaps identified in your previous</li> </ul>	<p><b>Management Accountability</b></p> <p><input type="checkbox"/> Clear accountability standards and practices exist for managers and supervisors.</p> <p><input type="checkbox"/> Managers and supervisors clearly understand consequences for failure to meet performance management responsibilities.</p> <p><input type="checkbox"/> Administrative process in place for tracking manager and supervisor compliance with performance management standards and practices.</p>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<p>accountabilities.</p> <p><b>Second Interim Report</b> What did the interim reviews tell you about your accountability standards and practices?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• What significant gaps did it reveal?</li> <li>• What is your action plan for addressing those gaps?</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• A revised copy of accountability standards (if necessary).</li> <li>• A copy of revised action plan (if necessary).</li> </ul> <p><b>Third Interim Report</b> What did your PDP audit tell you about your accountability standards and practices?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• What significant gaps did it reveal?</li> <li>• What is your action plan for addressing those gaps?</li> </ul>	<p>analyses.</p> <ul style="list-style-type: none"> <li>• Your monitoring and tracking processes for ensuring compliance.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Copies of policies, procedures or other communication that outline accountability standards and practices.</li> </ul>	
<b>5. Policies and Procedures</b>		
<p><b>Policies and Procedures</b> <b>First Interim Report</b> What modifications are you proposing to existing policies and procedures?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• Tasks accomplished from your action plan.</li> </ul>	<p><b>Policies and Procedures</b> How do your policies and procedures support your new performance management program?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• How your salary determination policy (SDP) and employee performance management (EPM) policy will</li> </ul>	<p><b>Policies and Procedures</b> <b>Policy – Content</b> <b>Salary Determination Policy (SDP):</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Describes the organization's general pay philosophy.</li> <li><input type="checkbox"/> Describes roles and responsibilities of various staff relative to compensation practices and processes.</li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<ul style="list-style-type: none"> <li>• Modifications to your action plan.</li> <li>• How you have addressed the gaps identified in your previous analysis.</li> <li>• Any new gaps you have identified.</li> <li>• What new or modified policies and procedures you are making to support the new performance management program.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Copies of draft policies and procedures. accountabilities.</li> </ul> <p><b>Second Interim Report</b> What did the interim reviews tell you about your policies and procedures?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• What significant gaps did it reveal?</li> <li>• What is your action plan for addressing those gaps?</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• A revised copy of policies and procedure(s) (if necessary)</li> <li>• A copy of revised action plan (if necessary)</li> </ul> <p><b>Third Interim Report</b> What did your PDP audit tell you about your policies and procedures?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• What significant gaps did it reveal?</li> <li>• What is your action plan for addressing those gaps?</li> </ul>	<p>contribute to the success of your new performance management program.</p> <ul style="list-style-type: none"> <li>• Your process for developing and implementing your policies and procedures.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Copy of new SDP.</li> <li>• Copy of new EPM Policy.</li> <li>• Procedures for developing and communicating policies and procedures.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Describes how base salary and other elements of compensation are determined.</li> </ul> <p><b>Employee Performance Management (EPM) Policy:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Describes executive commitment to EPM.</li> <li><input type="checkbox"/> Describes linkage between EPM, organizational performance management, and accomplishment of organizational goals.</li> <li><input type="checkbox"/> Describes the principles and purpose of the EPM system.</li> <li><input type="checkbox"/> Describes roles and responsibilities of various staff relative to EPM.</li> </ul> <p><b>Policy - Process:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Describes process for drafting policies and procedures.</li> <li><input type="checkbox"/> Describes process for getting feedback and input.</li> <li><input type="checkbox"/> Describes process for communicating new/revised policies and procedures.</li> </ul>



First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<b>6. Communication Strategy</b>		
<b>Communication Strategy</b> None	<b>Communication Strategy</b> What is your internal communication strategy during implementation of your new performance management program and performance incentive program (if applicable)?  Your response should describe: <ul style="list-style-type: none"> <li>Your communication strategy, including: <ul style="list-style-type: none"> <li>Key 'themes' you intend to communicate to managers/supervisors.</li> <li>Key 'themes' you intend to communicate to employees.</li> </ul> </li> <li>The significant communication risk areas that you will need to address moving forward.</li> <li>Contingency plans for eliminating misunderstandings and destructive myths.</li> </ul> Include as attachments: <ul style="list-style-type: none"> <li>Your action plan (detailing who, what, &amp; when).</li> <li>Copies of communication so far.</li> </ul>	<b>Communication Strategy</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Completed risk analysis</li> <li><input type="checkbox"/> Action plan for addressing identified risks (detailing who, what, &amp; when), which includes: <ul style="list-style-type: none"> <li><input type="checkbox"/> Involvement of executive management, human resources, supervisors, and employees.</li> <li><input type="checkbox"/> Targeted communication to managers/supervisors.</li> <li><input type="checkbox"/> Targeted communication to employees.</li> <li><input type="checkbox"/> Communication throughout agency, across all work units and locations.</li> <li><input type="checkbox"/> Utilization of both formal and informal means of communication.</li> <li><input type="checkbox"/> Linkage with planned training.</li> <li><input type="checkbox"/> Regular updates.</li> </ul> </li> </ul>
<b>External Stakeholders</b> None	<b>External Stakeholders</b> What is your strategy for communicating with key external stakeholders (e.g., boards, legislators, regulators, and media) during implementation of your performance management program?  Your response should describe:	<b>External Stakeholders</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> External stakeholder communication action plan (detailing who, what, &amp; when).</li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
	<ul style="list-style-type: none"> <li>How you plan to communicate your intent to implement a performance incentive program with external clients and customers.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>Your action plan (detailing who, what, &amp; when).</li> <li>Copies of communication so far.</li> </ul>	
7. Training & Development Strategy		
<p><b>Training &amp; Development Strategy</b>  <b>Second Interim Report</b>            What modifications are you proposing to the existing training plan and requirements?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>Tasks accomplished from your action plan.</li> <li>Modifications to your action plan.</li> <li>How you have addressed the gaps identified in your previous analysis.</li> <li>Any new gaps you have identified.</li> <li>What new or modified training requirements you are making to support the new performance management program.</li> </ul>	<p><b>Training &amp; Development Strategy</b>            How does your organization's training plan support your new performance management program?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>Your commitment to training.</li> <li>Your core management/supervisor and employee training requirements.</li> <li>Your process and tools for monitoring compliance.</li> <li>Your current level of compliance.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>Your organization training plan, detailing required training.</li> <li>Your monitoring reports, detailing current compliance with training requirements.</li> </ul>	<p><b>Training &amp; Development Strategy</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Demonstrated executive commitment to staff training, including:               <ul style="list-style-type: none"> <li><input type="checkbox"/> Financial resources.</li> <li><input type="checkbox"/> Release time.</li> </ul> </li> <li><input type="checkbox"/> Established training requirements for:               <ul style="list-style-type: none"> <li><input type="checkbox"/> Senior leaders and managers.</li> <li><input type="checkbox"/> Supervisors.</li> <li><input type="checkbox"/> Employees.</li> <li><input type="checkbox"/> New supervisors.</li> <li><input type="checkbox"/> New employees.</li> </ul> </li> <li><input type="checkbox"/> Core training requirements for all employees that include:               <ul style="list-style-type: none"> <li><input type="checkbox"/> Ethics.</li> <li><input type="checkbox"/> Diversity.</li> <li><input type="checkbox"/> Sexual Harassment Prevention.</li> </ul> </li> <li><input type="checkbox"/> Core training requirements for managers and supervisors that include:               <ul style="list-style-type: none"> <li><input type="checkbox"/> Supervisor's essentials or equivalent</li> <li><input type="checkbox"/> Performance Planning and Development.</li> <li><input type="checkbox"/> Job Analysis and PDF writing.</li> </ul> </li> <li><input type="checkbox"/> Monitoring and reporting system that:               <ul style="list-style-type: none"> <li><input type="checkbox"/> Comprehensively tracks all permanent employees.</li> </ul> </li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
		<input type="checkbox"/> Auditing PDPs for improvement <input type="checkbox"/> Reports compliance to executive mgmt. <input type="checkbox"/> Demonstrated 100% compliance with required training.
<b>Training &amp; Development</b> <b>Training - PDP</b> <b>Second Interim Report:</b> What modifications are you making to your existing PDP training?  Your response should describe: <ul style="list-style-type: none"> <li>• What new or modified training curriculum you are developing to support the performance incentive program.</li> <li>• How these changes address previously identified gaps.</li> </ul> Include as attachments: <ul style="list-style-type: none"> <li>• Revised PDP Curriculum.</li> <li>• PDP training schedule.</li> </ul>	<b>Training &amp; Development</b> <b>Training - PDP &amp; PIP</b> What orientation and training will you provide to employees, supervisors, and managers to implement your new employee performance management program?  Your response should describe: <ul style="list-style-type: none"> <li>• What modifications you are making to your existing PDP training requirements.</li> <li>• What training you are implementing to support your performance incentive program (if applicable)</li> <li>• Training completion rates for PDP &amp; PIP training conducted.</li> </ul> Include as attachments: <ul style="list-style-type: none"> <li>• Training curriculum and training aids for PDP course.</li> <li>• Training curriculum and training aids for performance incentive program course (if applicable).</li> </ul>	<b>Training &amp; Development</b> <b>Training - PDP &amp; PIP</b> <b>PDP Curriculum</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> PDP training that includes:               <ul style="list-style-type: none"> <li><input type="checkbox"/> How to cascade organizational goals through individual key results expected.</li> <li><input type="checkbox"/> How to distinguish between different levels of performance.</li> <li><input type="checkbox"/> One-on-one assistance from a variety of sources.</li> <li><input type="checkbox"/> Training incorporated into supervisor's IDPs.</li> </ul> </li> </ul> <b>Training Requirements</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> 100% supervisor PDP course completion.</li> <li><input type="checkbox"/> Ongoing refresher training:</li> <li><input type="checkbox"/> Included in new employee and new supervisor orientation.</li> <li><input type="checkbox"/> Included in supervisors' individual development plans.</li> </ul> <b>Training Completion</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> 100% supervisor PDP course completion.</li> </ul> <b>PIP Curriculum (if applicable)</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Performance incentive program training curriculum that addresses:               <ul style="list-style-type: none"> <li><input type="checkbox"/> Roles and responsibilities.</li> <li><input type="checkbox"/> Processes, criteria, standards, and expectations.</li> <li><input type="checkbox"/> One-on-one assistance from a variety of sources.</li> <li><input type="checkbox"/> Training incorporated into supervisor's IDPs.</li> </ul> </li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
		<input type="checkbox"/> Reconsideration process.
<b>8. PDP Implementation</b>		
<p><b>PDP Implementation</b>  <b>PDP – Practices</b>  <b>First Interim Report</b>            What modification are you making to implement your new employee performance management practices?            How do these modifications address previously identified gaps?</p> <p>What modifications are you making to your performance management practices to support the performance incentive program? (if applicable)</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• Your conceptual framework for cascading strategic/business plan goals and organization performance measures down to individual PDP key results expected.</li> <li>• How your framework will ensure:               <ul style="list-style-type: none"> <li>• Key result and competency expectations are written with clear performance measures and standards.</li> <li>• Supervisors link performance evaluations back to performance expectations identified in Part 1 of the PDP.</li> </ul> </li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• A copy of model PDPs (plan and evaluation)</li> </ul>	<p><b>PDP Implementation</b>  <b>PDP – Practices</b>            How do your performance planning and evaluation (PDP) <b>practices</b> support successful implementation and maintenance of your new performance management program and performance incentive program (if applicable)?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• Your conceptual framework for cascading strategic/business plan goals and organization performance measures down to the individual PDP Key Results Expected.</li> <li>• How your framework will ensure:               <ul style="list-style-type: none"> <li>• Key result and competency expectations are written with clear performance measures and standards.</li> <li>• Supervisors link performance evaluations back to performance expectations identified in Part 1 of the PDP.</li> </ul> </li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• A sample of 10 PDP plans from the current evaluation cycle representing a cross-section of employees.</li> <li>• A sample of 10 PDP evaluations from the previous</li> </ul>	<p><b>PDP Implementation</b>  <b>PDP – Practices</b>  <b>Framework</b>  <input type="checkbox"/> Agency demonstrates framework in place for PDPs' which cascade strategic/business plan goals and organization performance measures down to individual PDP Key Results Expected.</p> <p><b>Position Description Forms (PDF's)</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Clearly state essential job functions and major job duties.</li> <li><input type="checkbox"/> Clearly identify knowledge, skills, abilities and behaviors needed for successful job performance.</li> </ul> <p><b>Performance and Development Plans (PDPs):</b></p> <p>Planning Components (Parts 1,2,3)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Supervisors set individual job-related performance expectations that:               <ul style="list-style-type: none"> <li><input type="checkbox"/> Set expectations with clear performance measures and results which contribute to unit, program, and organizational goals.</li> <li><input type="checkbox"/> Are specific, measurable, action-oriented, realistic, and time-oriented (SMART).</li> <li><input type="checkbox"/> Contain position-specific, measurable and observable competencies.</li> </ul> </li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<ul style="list-style-type: none"> <li>A copy of revised action plan (if necessary)</li> </ul> <p><b>Second Interim Report</b> What did the interim reviews tell you about the quality of your current PDP plans?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>What significant gaps did it reveal?</li> <li>What is your action plan for addressing those gaps?</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>A revised copy of model PDP's (if necessary)</li> <li>A copy of revised action plan (if necessary)</li> </ul> <p><b>Third Interim Report</b> What did your PDP audit tell you about the quality of your current PDP plans and your prior year PDP Evaluations?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>What significant gaps did it reveal?</li> <li>What is your action plan for addressing those gaps?</li> </ul>	<p>evaluation cycle (including the plan from the same evaluation year), representing a cross-section of employees.</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Employee development plans contain training plans for developing and maintaining key knowledge and skills needed for successful job performance.</li> <li><input type="checkbox"/> Majority of employees provide input.</li> </ul> <p>Evaluation Components: (Parts 4 &amp; 5)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Periodic interim reviews conducted to accurately reflect changes to work assignments or special projects.</li> </ul> <p>1. Supervisors' feedback:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Measurably distinguishes between unsatisfactory and satisfactory performance</li> <li><input type="checkbox"/> Links performance results back to performance expectations identified in Part 1 of the PDP.</li> </ul>
<p><b>PDP Implementation</b> <b>PDP – Process</b> <b>First Interim Report</b> What modifications have you made to the existing performance planning and evaluation (PDP) process to implement your new PDP practices?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>Tasks accomplished from your action plan.</li> </ul>	<p><b>PDP Implementation</b> <b>PDP – Process</b> How does your performance planning and evaluation (PDP) <b>process</b> support your new performance management program?</p> <p>How effective are your performance planning and evaluation monitoring/compliance practices?</p>	<p><b>PDP Implementation</b> <b>PDP – Process</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Agency has used the PDP to plan and appraise performance for one or more performance cycles.</li> <li><input type="checkbox"/> Agency has met established timeframes and deadlines for completing the PDP.</li> <li><input type="checkbox"/> Agency demonstrates use of periodic interim reviews, including at least one mid-term evaluation during the review period.</li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<ul style="list-style-type: none"> <li>• Modifications to your action plan.</li> <li>• How you have addressed the gaps identified in your previous analysis.</li> <li>• Any new gaps you have identified.</li> </ul> <p>What new or modified performance planning and evaluation processes you are making to support the performance incentive program? (if applicable)</p> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Copies of draft policies, procedures, or other documentation outline new or modified performance planning and evaluation processes.</li> </ul> <p><b>Second Interim Report</b> What did the interim reviews tell you about your PDP process?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• What significant gaps did it reveal?</li> <li>• What is your action plan for addressing those gaps?</li> </ul> <p><b>Third Interim Report</b> What did your PDP audit tell you about your PDP process?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• What significant gaps did it reveal?</li> <li>• What is your action plan for addressing those gaps?</li> </ul>	<p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• Your evaluation cycle, including whether you use a standardized cycle(s).</li> <li>• Timeframes for drafting, discussing, submitting, and reviewing plans and evaluations (including how these timeframes are communicated to supervisors and employees).</li> <li>• How and when employees are provided either verbal or written feedback and coaching during the evaluation cycle, including interim reviews.</li> <li>• Your policies, procedures and tools for monitoring quality and compliance.</li> <li>• Your current level of compliance.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• HR Management Report detailing current completion rates.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Agency has ongoing monitoring and reporting system that:             <ul style="list-style-type: none"> <li><input type="checkbox"/> Tracks 100% completion/compliance rate for:                     <ul style="list-style-type: none"> <li><input type="checkbox"/> PDP plans.</li> <li><input type="checkbox"/> Individual development plans.</li> <li><input type="checkbox"/> Performance evaluations.</li> <li><input type="checkbox"/> Current position descriptions.</li> <li><input type="checkbox"/> Supervisor expectations for workforce management.</li> </ul> </li> <li><input type="checkbox"/> Comprehensively tracks all permanent employees.</li> <li><input type="checkbox"/> Reports compliance to executive management.</li> <li><input type="checkbox"/> Conducts reviews for PDPs for quality and improvement:                     <ul style="list-style-type: none"> <li><input type="checkbox"/> Percentage of interim reviews conducted.</li> <li><input type="checkbox"/> Percentage of employees receiving a final performance evaluation.</li> <li><input type="checkbox"/> Percentage improvements in employee, unit, or organizational performance ratings. (See employee confidence)</li> </ul> </li> </ul> </li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<b>9. Funding Plan</b>		
<p><b>Funding Plan First Interim Report</b> What is your plan for funding the performance incentive program? (if applicable)</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• Your estimated costs to fund the program.</li> <li>• Your anticipated funding approach.</li> <li>• Your communications with your OFM budget analyst.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• A copy of the cost analysis and estimates.</li> </ul> <p><b>Second Interim Report</b> What modifications are you making to your funding approach to implement and support your performance incentive program? (if applicable) Your response should describe:</p> <ul style="list-style-type: none"> <li>• Your revised cost estimates.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• A copy of revised cost analysis and estimates.</li> </ul>	<p><b>Funding Plan Approach</b> How will you fund the performance incentive program?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• Your estimated costs to fund the program.</li> <li>• Your funding approach.</li> <li>• Your communications with your OFM budget analyst.</li> <li>• Your process for monitoring and reporting estimated and actual costs to senior management.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• A copy of the cost analysis and estimates.</li> <li>• A copy of the letter from your agency Director certifying funds are available.</li> </ul>	<p><b>Funding Plan Approach</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Agency demonstrates a sustainable funding approach: <ul style="list-style-type: none"> <li><input type="checkbox"/> Funding approved at the Executive level.</li> <li><input type="checkbox"/> Funding approach meets OFM budgetary standards.</li> <li><input type="checkbox"/> Worked with OFM budget analyst to discuss funding options such as: <ul style="list-style-type: none"> <li><input type="checkbox"/> Set-aside monies allocated during the during the normal allotment process (provided that the set aside does not impact services).</li> <li><input type="checkbox"/> Actual savings from efficiencies.</li> <li><input type="checkbox"/> Use of monies saved through actual vacancies.</li> <li><input type="checkbox"/> Use of the General Fund-State Savings Incentive Program (for eligible agencies, for one-time awards only).</li> <li><input type="checkbox"/> Additional funding through legislative or other action.</li> </ul> </li> <li><input type="checkbox"/> Prudent cost analysis.</li> </ul> </li> </ul> <p><b>Reporting</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Transparent and ongoing reporting of estimated and actual costs to senior management.</li> </ul>

First, Second, Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
<b>10. Monitoring Plan</b>		
<p><b>Monitoring Plan</b>  <b>First Interim Report</b>  How do you plan to monitor and report on the performance incentive program? (if applicable)</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• What information you will monitor, analyze, and report.</li> <li>• How and when you will report your results internally and to DOP.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• A copy of the monitoring action plan (detailing who, what, &amp; when).</li> </ul> <p><b>Second Interim Report &amp; 4</b>  What modifications are you making to your monitoring plan to support your performance incentive program? (if applicable)</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• Your revised monitoring action plan (detailing who, what, &amp; when).</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• A copy of the modified monitoring action plan (detailing who, what, &amp; when).</li> </ul>	<p><b>Monitoring Plan</b>  How will you monitor and report on the performance incentive program?</p> <p>Your response should describe:</p> <ul style="list-style-type: none"> <li>• What information you will monitor, analyze, and report.</li> <li>• The targets for each item you are monitoring.</li> <li>• How and when you will report your results internally and to DOP.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• A copy of the monitoring action plan (detailing who, what, &amp; when).</li> </ul>	<p><b>Monitoring Plan</b>  <b>Operations</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The agency monitors and has targets for program operations, including: <ul style="list-style-type: none"> <li><input type="checkbox"/> Nominations – amounts, numbers, percentages, and reasons for nominations.</li> <li><input type="checkbox"/> Awards – amounts, numbers, percentages, and reasons for awards.</li> <li><input type="checkbox"/> Award demographic information (e.g., division breakout, profession line staff/supervisor/management, etc.).</li> <li><input type="checkbox"/> Number and percentage of requests for reconsideration and final resolution.</li> </ul> </li> </ul> <p><b>Performance</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The agency monitors and has targets for employee performance level impacts.</li> <li><input type="checkbox"/> The agency monitors and has targets for organizational performance level impacts.</li> </ul> <p><b>Employee Engagement</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The agency monitors employee engagement levels through pre- and post- survey process.</li> </ul> <p><b>Reporting Process</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The agency has an action plan for analyzing and reporting the status and results of the program both <ul style="list-style-type: none"> <li><input type="checkbox"/> Internally.</li> <li><input type="checkbox"/> To DOP following distribution of the first year awards (at submit 6) and annually thereafter.</li> </ul> </li> </ul>



**Submittal Checklist****Attachment B**

Please be sure to complete the following items before submitting your preliminary application:

<input checked="" type="checkbox"/>	<b>Checklist Item</b>
<input type="checkbox"/>	<b>Develop Model Program</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> The project manager and workgroup developed:           <ul style="list-style-type: none"> <li><input type="checkbox"/> Model format and content Performance Development Plans (PDP's).</li> <li><input type="checkbox"/> Developed or revised policies and procedures regarding assigned roles, responsibilities, management accountability.</li> <li><input type="checkbox"/> Training and communication strategies and plans.</li> </ul> </li> <li><input type="checkbox"/> The project manager and workgroup has developed the performance incentive program (PIP), including:           <ul style="list-style-type: none"> <li><input type="checkbox"/> Program award criteria and process.</li> <li><input type="checkbox"/> Recommendation and Approval Process.</li> <li><input type="checkbox"/> Reconsideration Process.</li> <li><input type="checkbox"/> Funding, and monitoring.</li> </ul> </li> </ul>
<input type="checkbox"/>	<b>Test Model Program</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> The workgroup tested the PIP award criteria against the model PDPs.</li> </ul>
<input type="checkbox"/>	<b>First Interim Report</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> The workgroup assessed progress and test results and reported findings to DOP.</li> <li><input type="checkbox"/> The confirmation review group provided feedback.</li> </ul>
<input type="checkbox"/>	<b>Test Mid-year Performance Evaluations</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Mid-year PDP evaluations were tested against the award criteria.</li> <li><input type="checkbox"/> Audit results were used to:           <ul style="list-style-type: none"> <li><input type="checkbox"/> Update to the PDP model and award criteria.</li> <li><input type="checkbox"/> Provide feedback, training, or one-one assistance to supervisors as needed.</li> <li><input type="checkbox"/> Improve any sub-standard plans before supervisors completed their final evaluations.</li> <li><input type="checkbox"/> Improved and updated PDP course curriculum as appropriate.</li> <li><input type="checkbox"/> Provided follow-up training for new supervisors hired mid-cycle.</li> </ul> </li> </ul>
<input type="checkbox"/>	<b>Second Interim Report</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> The project manager and workgroup assessed progress and results and submitted second interim report to DOP.</li> <li><input type="checkbox"/> The confirmation review group provided feedback.</li> </ul>

<input checked="" type="checkbox"/>	Checklist Item
<input type="checkbox"/>	<b>Audit, Employee Survey, and Training</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Following full evaluation cycle, the project manager and workgroup audited and tested the evaluations and new PDP plans against the award criteria. Audit results were used to: <ul style="list-style-type: none"> <li><input type="checkbox"/> Update the PDP model and award criteria.</li> <li><input type="checkbox"/> Provide feedback to supervisors.</li> <li><input type="checkbox"/> Poor PDP plans corrected prior to final submission.</li> </ul> </li> <li><input type="checkbox"/> An employee confidence survey conducted.</li> <li><input type="checkbox"/> PIP supervisory training curriculum developed.</li> </ul>
<input type="checkbox"/>	<b>Third Interim Report</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> The project manager and workgroup assessed progress and results and submitted third interim report to DOP.</li> <li><input type="checkbox"/> The confirmation review group provided feedback.</li> </ul>
<input type="checkbox"/>	<b>Final Application</b> Upon submittal, the workgroup has completed the following:
<input type="checkbox"/>	<input type="checkbox"/> A policy regarding the performance management system has been established.
<input type="checkbox"/>	<input type="checkbox"/> Procedures have been established that govern the actions for which performance management confirmation is being requested (i.e., lump sum recognition pay, leave, etc.).
<input type="checkbox"/>	<input type="checkbox"/> Accountability has been established for managers regarding their responsibilities in performance management.
<input type="checkbox"/>	<input type="checkbox"/> A communication strategy and plan are in place.
<input type="checkbox"/>	<input type="checkbox"/> A training plan is in place to provide supervisors training in: <ul style="list-style-type: none"> <li><input type="checkbox"/> The PDP form and process.</li> <li><input type="checkbox"/> Performance-incentive program.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/> A sustainable funding approach in place.
<input type="checkbox"/>	A monitoring plan with performance measures has been established.
<input type="checkbox"/>	<b>Submit Application</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Submit your application to:</li> </ul> <p>Eva Santos, Director  Washington State Department of Personnel  PO Box 47500  Olympia, WA 98504-7500</p>

Please be sure to complete the following items as you prepare for final confirmation:

<input checked="" type="checkbox"/>	<b>Checklist Item</b>
<input type="checkbox"/>	<b>Pre-presentation</b> <input type="checkbox"/> Your project manager and workgroup has conducted a dry-run presentation before the Review Group to vet the application and answer any preliminary technical questions.
<input type="checkbox"/>	<b>Presentation</b> <input type="checkbox"/> Your chief executive, project manager and workgroup have presented your application before the Department of Personnel Director and the Review Group.
<input type="checkbox"/>	<b>Decision</b> <input type="checkbox"/> The Department of Personnel Director has made a decision to grant confirmation.  Congratulations!